



# Office of Program Support Quality Review System

UCEDD New Directors Orientation January 14, 2016



# Quality Review System

- Promotes quality performance in the work of the AIDD grantees.
- **Under the terms of the DD Act,** AIDD must *conduct oversight to determine the extent to which grantees are helping individuals with developmental disabilities and their families have more opportunities to live, participate, and contribute to community life.* Understanding and reviewing whether programs are achieving these outcomes is critical to AIDD's role.

## **QRS has 3 basic components:**

1. Federal review of program compliance and outcomes
2. Federal review of fiscal operations
3. Provision of technical assistance

These are 3 distinct yet interrelated components.

AIDD uses from the results of the federal compliance and outcome reviews to identify where technical assistance is needed and coordinates with its TA providers to ensure the areas are addressed.

# Quality Review System



## **Program Compliance** This element of QRS asks the question

*Are the AIDD programs doing what the law requires?*

AIDD is the Federal steward that ensures its programs operate consistent with the DD Act and its regulations.

# Program Compliance

Is seen as the minimum at which AIDD grantees must operate.

Throughout QRS, information is reviewed to determine whether grantees are in compliance with the law

## **Program Outcomes** This element of QRS asks the question

- *Are the AIDD programs making a difference in people's lives?*



## ***Are the AIDD programs making a difference in people's lives?***

- This question reflects the climate of accountability in Federal Government. In this climate, there is an increasing emphasis on justifying programs and budgets by showing their positive impact on people. Programs need to show that they are achieving goals of the DD Act and making an impact on the lives of people with developmental disabilities. This Federal climate expands responsibilities for Federal stewardship. It is also an opportunity to bring more attention to the impact of the grantees.

# The QRS assessment of grantee outcomes is guided by two principles:

- The extent to which the grantee is achieving the purpose of the DD Act: *The purpose of this title is to assure that individuals with developmental disabilities and their families participate in the design of and have access to needed community services, individualized supports, and other forms of assistance that promote self-determination, independence, productivity, and integration and inclusion in all facets of community life, through culturally competent programs...*
- The extent to which the data collected and submitted by the grantee in the annual program performance report on end outcomes can be validated.

# Fiscal Operations

This element of the QRS asks the question:

- *Are AIDD programs adhering to federal fiscal management requirements?*
- The fiscal management element is concerned with monetary tracking and accountability. Grantees are asked to demonstrate fiscal management through the appropriate oversight, monitoring, accounting, and use of AIDD funds. To this end, they are asked to document fiscal responsibility in the use of federal funds-

# **Technical Assistance** This element of the QRS asks the question:

- *What technical assistance will bring AIDD programs into compliance and/or enhance program outcomes?*
- The technical assistance element is concerned with the programs operations that will improve compliance and/or the grantees outcomes/impact.
- Technical assistance is a coordinated process between AIDD, its grantees, and the AIDD TA provider.

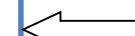
# Quality Review System- A 3 Tiered Model

**Tier 1** – Annual Review of the PPRs and Continuations (compliance and outcomes)

**Tier 2** - Periodic in-depth Compliance & Outcome Review (5 Year Core Grant Applications, site visit, Closeout Report )

AIDD can conduct at any point, but most **Tier 3** - On-site review for red flag programs, which likely after Tiers 1 & 2

*Organizational  
Review*



# Quality Review System

Compliance

Outcomes

# Compliance Review

Federal  
Staff

Tier 1: Annual PPR and  
Continuations Review

Review  
Team

Tier 2: Periodic in-depth compliance  
review, 5 Year applications ,  
Organization Review Site Visit

# Outcome Review

Federal  
Staff

Tier 1: Annual PPR/Continuations  
Review - Outcome measures

Review  
Team

Tier 2: Periodic in-depth outcome  
reviews 5Year Close Out Reports



## Tier 1: Annual Compliance and Outcome Review

- Conducted annually by federal staff
- Focus on high level program compliance and outcome reviews
- Standardized process through review tools

# Tier 1: Annual Compliance and Outcome Review

- *Compliance review:*
  - Review and analysis of the Program Performance Reports (PPRs) and Continuations.
  - Assess whether grantee is compliant with DD Act requirements and achieving outcomes
  - All programs undergo a Tier 1 review on an annual basis

# AIDD incorporates TA into Tier 1

- Identifies trends in the review of the PPRs and Continuations.
- Shares this information with the TA provider for designing TA to address areas for improvement across the Network.
- Identifies specific grantee's areas of need and will coordinate with AUCD to provide TA where needed.

# QRS helps improve program performance

- AIDD uses the information to identify areas for technical assistance (TA) across the network and for individual programs. This information is shared with AUCD to design and target TA where needed. Thus, grantees will learn how to become even more effective in bettering the lives of individuals with developmental disabilities.

## Tier 2: In-depth Compliance & Outcome Review

- Conducted periodically –during by federal staff and peer reviewers
- On-site
- Focus on in-depth review of program compliance and program outcomes
- Standardized through use of review tools



## **Tier 2: In-depth Compliance & Outcome Review**

- Verifies grantee is compliant with all aspects of DD Act requirements and is achieving outcomes

## Tier 2: In-depth Compliance & Outcome Review

- ***Compliance review:*** Core areas federal staff and peer reviewers review to evaluate that the grantee is implementing its program in accordance with the program requirements in the **5 year Core grant application**; and is reporting data appropriately in the AIDD Annual Report template.
- ***Outcome Review:*** Core areas federal staff and peer reviewers evaluate if the grantee accomplished end outcomes in **Final Closeout Report using the Logic Model**.

## Tier 3 Review

- Based on findings during the Tier 2, AIDD may recommend further review in the form of a Tier 3 review. Most likely, the Tier 3 review will focus on further investigating potential program compliance issues if additional information is needed to verify program compliance. AIDD will issue the Tier 2 report prior to initiating Tier 3 activities.
- AIDD will also make recommendations for technical assistance based on the Tier 2 review

## Tier 3 Review

Tier 3 allows AIDD to conduct customized monitoring of ‘red flag’ programs. ‘Red flag’ programs are those that AIDD has significant concerns about in terms of compliance and/or a lack of responsiveness to technical assistance or other efforts to address programmatic concerns.

## QRS Review Tools

- Given the variety of elements related to QRS, AIDD created the Tier 1 Review Tool and the Tier 2 Review Tool to streamline the processes. They are the tools AIDD uses to review the programs annually and periodically but can be used by the programs as self-assessment checklists

## **QRS Activities and Timeline**

In general, the QRS spans the Federal fiscal year (October 1 – September 30) to organize and manage the QRS activities for the year. It includes tasks such as identifying the States to be reviewed, preparing a yearly budget, establishing review teams, and preparing the program for the site visit.

# The information collected through the monitoring process

- Helps AIDD comply with the requirements of the Government Performance and Results Modernization Act of 2010 (GPRA) that seeks to increase government accountability.
- GPRA was 1st enacted by Congress in 1993 and updated in 2010 to promote program performance and to provide greater accountability for results within Federal government by requiring agencies to develop measurable goals and to report results to Congress.
- AIDD uses the information obtained from QRS to strengthen its position when justifying its programs to Federal oversight agencies.

# Reference Links

**Tier 1 Review Tool - Quality Review System - UCEDD Tier 1 Review Tool - 2013 Pilot**

**7,10c,11c,12c**

- FYAIID Programs Outcomes
- UCEDD Annual Report Template and Guidance (updated in 2014)
- UCEDD Logic Model 2012
- 2015 ACL Congressional Justification

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# QUESTIONS